

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 12-2004)

ATTORNEY'S DOCKET NUMBER

606-74-PCT/PA

10/501302

U.S. APPLICATION NO. (If known, See 37 CFR 1.5)

10/501,302

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371INTERNATIONAL APPLICATION NO.  
PCT/DK03/00016INTERNATIONAL FILING DATE  
10 January 2003PRIORITY DATE CLAIMED  
10 January 2002TITLE OF INVENTION  
INFORMATION SECURITY AWARENESS SYSTEMAPPLICANT(S) FOR DO/EO/US  
LARS NEUPART

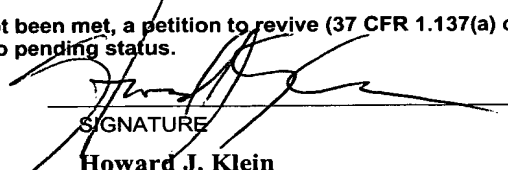
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☐ Express Mail Label No.
23. ☒ Other items or information:  
Response to Notice to File Missing Parts of Application (3 pages)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
10/501,302		PCT/DK03/00016		606-74-PCT-PA	
24. The following fees are submitted:				Applicant use	Office use
<input type="checkbox"/> a) Basic national fee . . . . . \$300.00				\$	\$0.00
<input type="checkbox"/> b) Examination fee . . . . . \$200.00				\$	\$0.00
<input type="checkbox"/> c) Search fee . . . . . \$500.00				\$	\$0.00
<b>TOTAL OF ABOVE CALCULATIONS =</b> \$1000.00				\$	\$0.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
- 100 =	/50 =		x	\$	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =	0	x \$18.00	\$	\$0.00
Independent claims	- 3 =	0	x \$86.00	\$	\$0.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> +				\$	\$0.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	\$0.00
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$0.00
<b>SUBTOTAL =</b>				\$	\$0.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00
<b>TOTAL NATIONAL FEE =</b>				\$	\$0.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00
<b>TOTAL FEES ENCLOSED =</b>				\$	\$0.00
<b>Amount to be refunded:</b>					\$
<b>Amount to be charged:</b>					\$
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>11-1159</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO: Howard J. Klein (Reg. No.: 28,727) Klein, O'Neill & Singh, LLP (Customer No.: 22145) 2 Park Plaza, Suite 510 Irvine, California 92614 Tel: (949) 955-1920 Fax: (949) 955-1921					
				SIGNATURE  Howard J. Klein NAME 28,727 REGISTRATION NUMBER	

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.  
**606-74-PCT-PA**

In Re Application Of: **Lars Neupart**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
<b>10/501,302</b>	<b>July 12, 2004</b>		<b>22145</b>		<b>9636</b>

Invention: **INFORMATION SECURITY AWARENESS SYSTEM**

Mail Stop Missing Parts

COMMISSIONER FOR PATENTS:

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
December 17, 2004  
*Date*

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☒ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☒ A properly signed oath or declaration in compliance with 37 CFR 1.63.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☐ \_\_\_\_\_ verified small entity declaration(s)
  - ☐ is/are attached.
  - ☐ was/were filed on \_\_\_\_\_
- ☐ A separate request for refund.
- ☐ Other (list):

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.  
**606-74-PCT-PA**

In Re Application Of:

**Lars Neupart**

Application No.  
**10/501,302**

Filing Date  
**July 12, 2004**

Examiner

Customer No.  
**22145**

Group Art Unit

Confirmation No.  
**9636**

Invention: **INFORMATION SECURITY AWARENESS SYSTEM**

**TO THE COMMISSIONER FOR PATENTS:**

**Mail Stop Missing Parts**

☐ Completion of application fees as calculated below:

☐ Utility application basic fee

☐ Design application basic fee

☐ Search Fee

**\$0.00**

☐ Examination Fee

**\$0.00**

☐ Total number of independent claims = \_\_\_\_\_

☐ Total number of claims = \_\_\_\_\_

☐ Multiple dependent claims

☐ Surcharge for late payment of filing fee and/or late filing of original declaration or oath

☐ Petition and fee for filing by other than all the inventors or a person not the inventor

☐ Fee for processing an application filed with a non-English language specification

☐ Fee for processing and retention of application

03/30/2005 MKAYPAGH 00000042 10501302

Total completion of application fees

01 FC:2251

**60.00 DP**

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☒ One month ☐ Two months ☐ Three months ☐ Four months ☐ Five months

from: **February 17, 2005**

*Date*

until: **March 17, 2005**

*Date*

Total time extension fees **\$60.00**

Total fees due **\$60.00**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Small Entity)**

Docket No.  
**606-74-PCT-PA**

In Re Application Of: **Lars Neupart**

Application No. <b>10/501,302</b>	Filing Date <b>July 12, 2004</b>	Examiner	Customer No. <b>22145</b>	Group Art Unit	Confirmation No. <b>9636</b>
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Invention: **INFORMATION SECURITY AWARENESS SYSTEM**


**TO THE COMMISSIONER FOR PATENTS:**

**Mail Stop Missing Parts**

The fee of **\$60.00** is to be paid as follows:

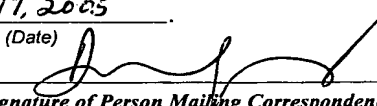
- ☐ A check in the amount of the fee is enclosed.
- ☒ The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **11-1159**
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **11-1159**
- ☒ Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

  
*Signature*

**Howard J. Klein (Reg. No.: 28,727)  
Klein, O'Neill & Singh, LLP (Customer No.: 22145)  
2 Park Plaza, Suite 510  
Irvine, California 92614  
Tel: (949) 955-1920  
Fax: (949) 955-1921  
Email: hjklein@koslaw.com**

Dated: **March 17, 2005**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on <u><b>MARCH 17, 2005</b></u>	
(Date)	
Signature of Person Mailing Correspondence	
<u><b>CARRIE ANNE CHEUNG</b></u>	
Typed or Printed Name of Person Mailing Correspondence	

CC:



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/501,302	Lars Neupart	606-74-PCT-PA

INTERNATIONAL APPLICATION NO.	
PCT/DK03/00016	
I.A. FILING DATE	PRIORITY DATE
01/10/2003	01/10/2002

22145  
 KLEIN, O'NEILL & SINGH  
 2 PARK PLAZA  
 SUITE 510  
 IRVINE, CA 92614

SEP 10 2004

CONFIRMATION NO. 9636  
 371 FORMALITIES LETTER



Date Mailed: 12/17/2004

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 07/12/2004
- Copy of the International Search Report filed on 07/12/2004
- Preliminary Amendments filed on 07/12/2004
- Information Disclosure Statements filed on 09/24/2004
- Oath or Declaration filed on 07/12/2004
- Small Entity Statement filed on 07/12/2004
- Request for Immediate Examination filed on 07/12/2004
- U.S. Basic National Fees filed on 07/12/2004
- Priority Documents filed on 07/12/2004

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

WINSTON M ALVARADO

Telephone: (703) 305-6421

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/501,302	PCT/DK03/00016	606-74-PCT-PA

FORM PCT/DO/EO/905 (371 Formalities Notice)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Lars Neupart  
APPLN. NO.: 10/501,302  
I.A. FILING DATE: January 10, 2003  
TITLE: INFORMATION SECURITY AWARENESS SYSTEM  
DOCKET: 606-74-PCT-PA

**CERTIFICATE OF MAILING**

**DATE DEPOSITED:** March 17, 2005

I hereby certify that the enclosed Transmittal Letter (2 pages); Response to Notice to File Missing Parts of Application with Petition for Extension of Time (3 pages); Copy of Notification of Missing Requirements (2 pages); Executed Declaration (2 pages); Credit Card Payment Form PTO-2038 (1 page) is being deposited with the United States Postal Service as Regular Mail in an envelope on the date indicated above and is addressed to Commissioner for Patents, P.O. BOX 1450, Alexandria, VA 22313-1450.

Date: March 17, 2005

  
\_\_\_\_\_  
Carrie Anne Cheung

Mailing Address:

**KLEIN, O'NEILL & SINGH, LLP (Customer No.: 22145)**  
2 Park Plaza Suite 510  
Irvine, CA 92614